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06-13-01

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Ilic, et al. Examiner:  
Serial No.: 09/688,294 Art Unit:  
Filing Date: October 13, 2000 Attorney Docket: 0492611-0388  
Title: TIE-LINE FLOW CONTROL SYSTEM AND METHOD FOR  
IMPLEMENTING INTER-REGIONAL TRANSACTIONS

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:


**TRANSMITTAL**

Enclosed herewith please find:

1. Statement Filed Pursuant to the Duty of Disclosure Under 37 CFR 1.56, 1.97 and 1.98;
2. PTO Form 1449;
3. Copies of Cited Art; and
4. Return Postcard.

Please charge any fees associated with this filing, or apply any credits, to our Deposit  
Account No. 03-1721.

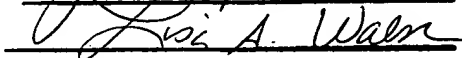
Respectfully submitted,

  
John A. Hamilton, III  
Registration Number P-48,946

Choate, Hall & Stewart  
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Boston, MA 02109  
(617) 248-5000  
Dated: June 5, 2001

3278010

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as first  
class mail in an envelope addressed to: Assistant  
Commissioner For Patents, Washington, D.C. 20231  
on June 5, 2001





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Title: TIE-LINE FLOW CONTROL SYSTEM AND METHOD FOR  
IMPLEMENTING INTER-REGIONAL TRANSACTIONS

Assistant Commissioner of Patents  
Washington, D.C. 202321

Sir:

**STATEMENT FILED PURSUANT TO THE DUTY OF DISCLOSURE  
UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, Applicants respectfully request consideration of this Information Disclosure Statement.

**PART I: Compliance with 37 C.F.R. §1.97**

(Select A, B or C below)

- A. ☐ This Information Disclosure Statement has been filed:  
(check 1, 2 and/or 3 below)
1. ☐ within three months of the filing date of the above identified U.S. Patent application;
  2. ☐ within three months of the filing date of the entry of the National Stage, as set forth in 37 C.F.R. §1.491, in an International application; and/or
  3. ☐ before the mailing date of the first Office Action on the merits in the above-identified application.
  4. ☐ before the mailing date of a first Office Action after the filing of a Request for Continued Examination under 37C.F.R. §1.114.

No fee or certification is required.

- B. ☒ This Information Disclosure Statement has been filed more than three months after the filing date of the present application and after the mailing date of this first Office Action, but before the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311.  
(check 1 or 2 below)
1. ☐ The fee of \$180 as set forth in 37 C.F.R. §1.17(p) is enclosed; or
  2. ☐ Applicants hereby certify, as specified in 37 C.F.R. §1.97(e), that  
(check a or b below)
    - a. ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application not more than three months prior to the filing of this Statement; or
    - b. ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Statement.
    - c. ☐ items indicated by an asterisk were identified in a recent review of related files.
- C. ☐ This Information Disclosure Statement has been filed after the mailing date of either a Final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311 and before payment of an Issue Fee.  
(check 1, 2, and 3 below)
1. ☐ The Applicant hereby certifies, as specified in 37 C.F.R. §1.97(e), that:  
(check a or b below)
    - a. ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent

Office in a counterpart for this application not more than three months prior to the filing of this Statement.

- b.     ☐     no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Statement.
2.     ☐     A Petition requesting consideration of the Information Disclosure Statement is attached.
3.     ☐     The Petition Fee of \$130 as set forth in 37 C.F.R. §1.17(i)(1) is enclosed.

#### PART II - Information Cited

- A.     ☒     The Applicant hereby makes of record in the above-identified application the reference(s) listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.
- B.     ☒     The Applicant hereby makes the following additional information of record in the above-identified application: USSN 09/465,209, filed December 15, 1999, from which this application claims priority as a continuation in part.

#### PART III: Explanation of Non-English Language References and Remarks Concerning Other Information Cited

- A.     ☐     The following is a concise explanation of the relevance of each non-English language reference listed on the attached form PTO-1449 (modified):
- B.     ☐     The following are remarks concerning the other information cited:

#### PART IV: Remarks

- A. ☒ Copies of references  
(check 1 or 2 below)
1. ☒ A copy of each of the references cited on the attached form PTO-1449 (modified) is enclosed;
  2. ☐ Copies of certain of the references cited on the attached form PTO-1449 (modified) are not enclosed because each of these references (indicated by asterisk) was previously cited by or submitted to the Office in a prior application, U.S.S.N.\_\_\_\_\_, which prior application is relied upon for an earlier filing date under 35 U.S.C. § 120.
- B. ☒ It is respectfully requested that:  
(check 1, 2, and 3 below)
1. ☒ The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
  2. ☒ The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited patent(s) and publication(s) has (have) been fully considered by the Patent and Trademark Office during the examination of this application;
  3. ☒ The citations for the patent(s) and publication(s) be printed on any patent which issues from this application.
- C. ☒ By submitting this Information Disclosure Statement, Applicants make no representation that a search has been performed, of the extent of any search performed, or that more material information may not exist.
- D. ☒ By submitting this Information Disclosure Statement, Applicants make no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).



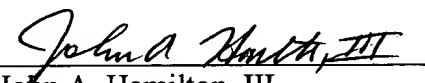
[X] By submitting this Information Disclosure Statement, Applicants make no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

F. [X] Notwithstanding any statements by Applicants, the Examiner is urged to form his or her own conclusions regarding the relevance of the cited reference(s).

An early and favorable action is hereby requested.

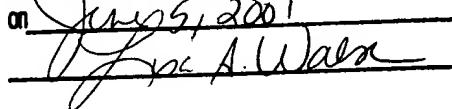
Please charge any additional fees or credit any overpayments to our Deposit Account No. 03-1721.

Respectfully submitted,

  
John A. Hamilton, III  
Registration Number P-48,946

CHOATE, HALL & STEWART  
Exchange Place  
53 State Street  
Boston, Massachusetts 02109  
(617) 248-5000  
Dated: June 5, 2001  
3278027

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231  
on June 5, 2001





Form PTO-1449  
(REV. 8-83)

U.S. Department of Commerce  
Patent and Trademark Office

Atty. Docket:  
0492611-0388  
(MIT9062)

In re Application No.  
09/688,294

**INFORMATION DISCLOSURE STATEMENT**

*(Use several sheets if necessary)*

Applicant: Ilic, et al.

Filing Date:  
October 13, 2000

Group:

**U.S. PATENT DOCUMENTS**

Examiner's Initials	U.S. Patent No.	Applicant	Issue Date	Class	Subclass
	5,974,403	Takriti et al.	October 26, 1999	705	412
	4,419,733	Ross	December 6, 1983	364	493
	4,267,571	Cohn	May 12, 1981	364	493
	4,209,831	Ross	June 24, 1980	364	492
	3,898,442	Cohn	August 5, 1975	235	151.21

**U.S. PATENT APPLICATIONS**

Examiner's Initials:	Serial Number:	Applicant:	Filing Date:	Group:	Art Unit:

**FOREIGN PATENT DOCUMENTS**

Examiner's Initials	Document No.	Country	Date	Translation	
				Yes	No

**OTHER DOCUMENTS**

Examiner's Initials	Citation (Including Author, Title, Date, Pertinent Pages, Etc.)

3270347